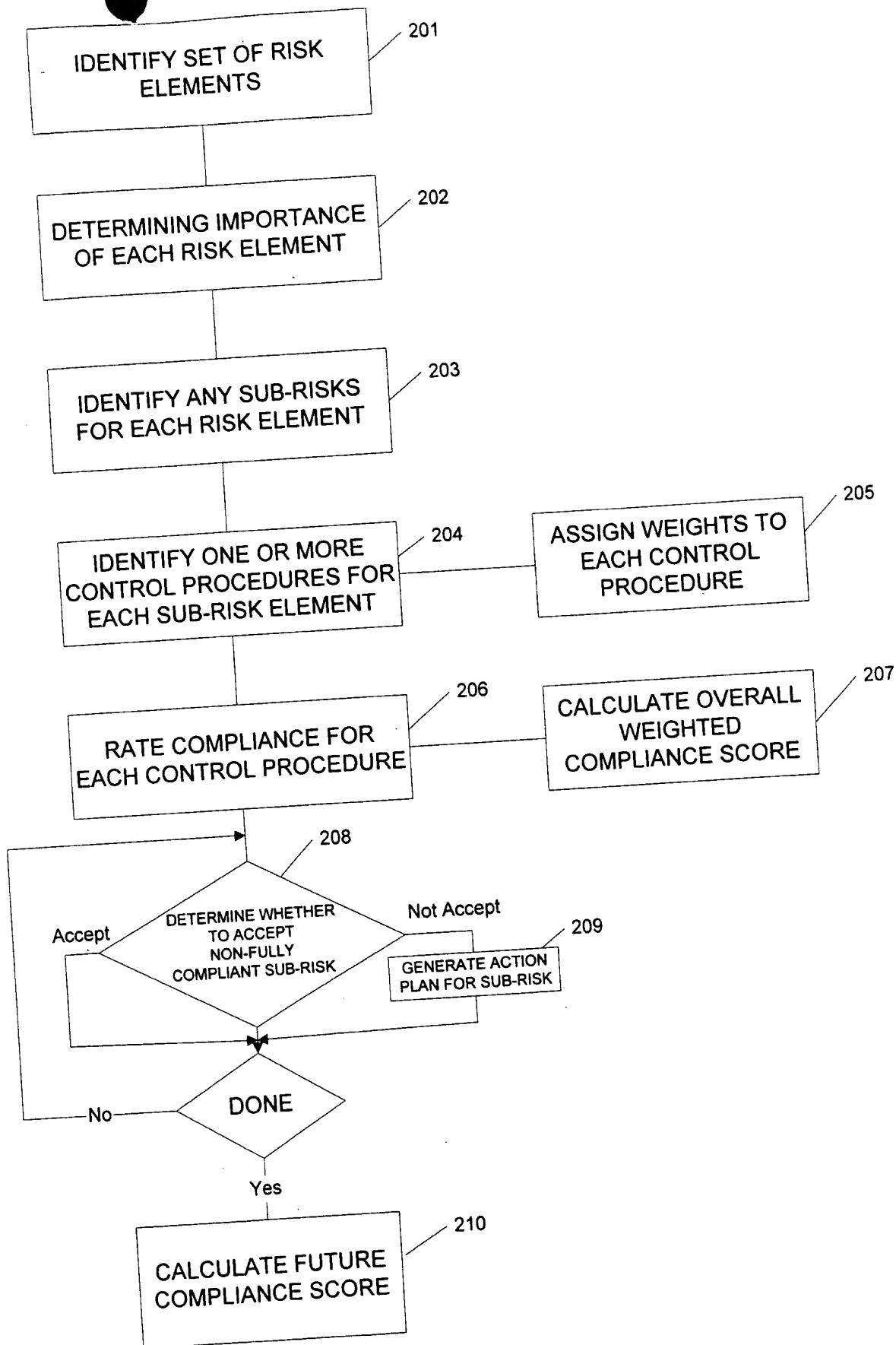


FIGURE 1

Figure 2



Voice/Trader Voice /Hong Kong 30/

Risk Rating: High Med Low

Business Continuity

Financial			
Information			
Legal/Regulatory			
People			
Physical Security			
Technology			

Risk Description:

The risk that the firm is unable to continue operating in a certain location(s) in the event of a disruption to business.

Policies:

1. Business and technology recovery action plans must exist for all businesses, including their associated support functions. Fluid components of the recovery plans (e.g. notification lists) must be updated semi-annually and more static information (e.g. strategies, recovery procedures) must be updated annually.

Save

FIGURE 3

Assessments	Scope	Risk Assessment	Risk Detail	Action Plan	Submit
401 - Business Continuity	Office / Trader Voice / Hong Kong	Bus. Resum.	Subrisk description for: Bus. Resum. Businesses could be unable to resume if their facilities become unavailable. This could lead to a loss of market share, regulatory penalties and reputational damage.	Control Procedure 3:5 A comprehensive technology recovery plan exists for restoration of this service to another site including duplication of critical items of hardware, software, networks and third party services as well as monitoring tools, technologists, and documentation	Rating Yellow
402A - Bus. Resum.		Change Management			
403A - Management Reporting		System Testing			
403B - Test Performance		Viruses			
403C - Anti-virus Software		Currency of AV software.			
403D - Scanning Practices		Scope of Scanning			
403E - Expense Mgt.		Detailed Budget			
402B - Financial					

Save Reset Create Action Plan View All Action Plans

Gap: (Required)
A plan exists but is not as comprehensive as listed above

Additional Comments:

Mgmt. Reports:

Partial Compliance

464
405

FILED 4

2004 04 04 09 00

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Assessments	Scope	Risk Assessment	Risk Detail	Action Plan	Submit
Force / Trader Voice / Hong Kong					
Task Name:	Subrisk Name:	Gap Name:	Control Procedure:	Action Plan Status:	Rating:
Business Continuity	Bus. Resum.	A plan exists but is not as complete	Off-site Recoverability	Action Plan Created	Yellow
Business Continuity	Bus. Resum.	The last test was conducted	System Testing	Action Plan Created	Yellow
Business Continuity	Bus. Resum.	During the last test we had si Test Performance		Action Plan Created	
Business Continuity	Bus. Resum.	During the last test we had si Test Performance		Action Plan Created	

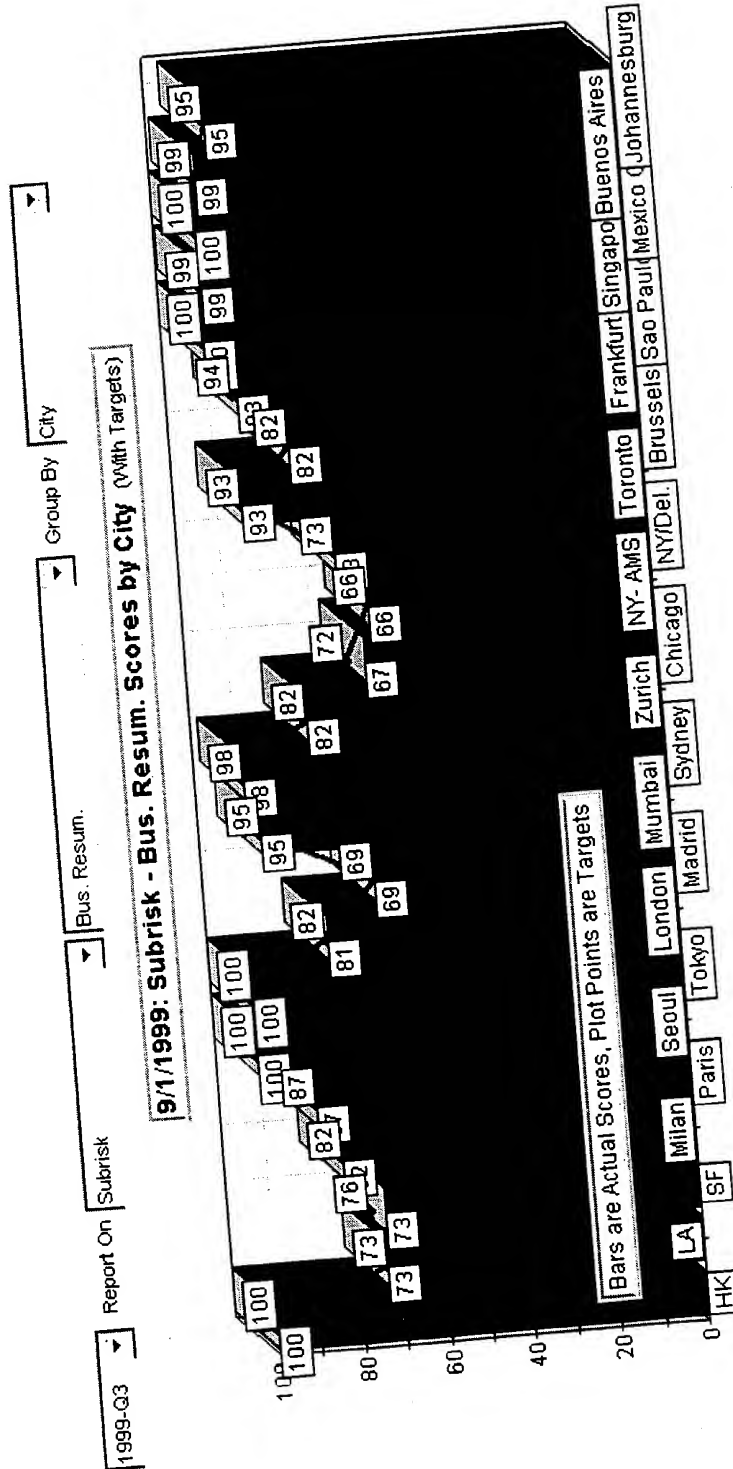
Task Search:	Create Action Plan <input checked="" type="radio"/> Accept Ris <input type="radio"/>	Status: <input type="text" value="Open"/>	Est. Cost: <input type="text" value="\$5000"/>
Description:	Business Continuity Plan <input type="text" value="502"/>	JOEL	80
Target Date:	12/15/1999	KLEIN	503
Action Plan:	We will revise the current plan to include more detail such as - people		

504 **501** **506**

Save New Delete

FIGURES

FILED 7-26-99



Report On	City	Brussels	Detail For	Subrisk	Bus. Resum.
	▼		▼	▼	▼

Forecast Report: City 'Brussels' & Subrisk 'Bus. Resum.'

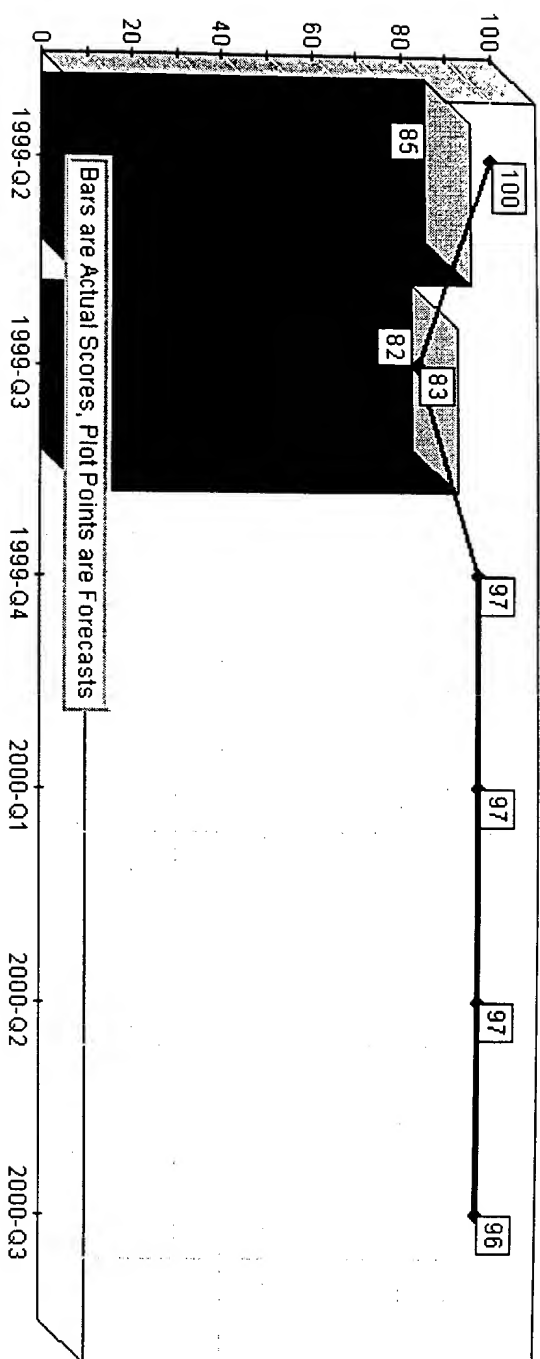
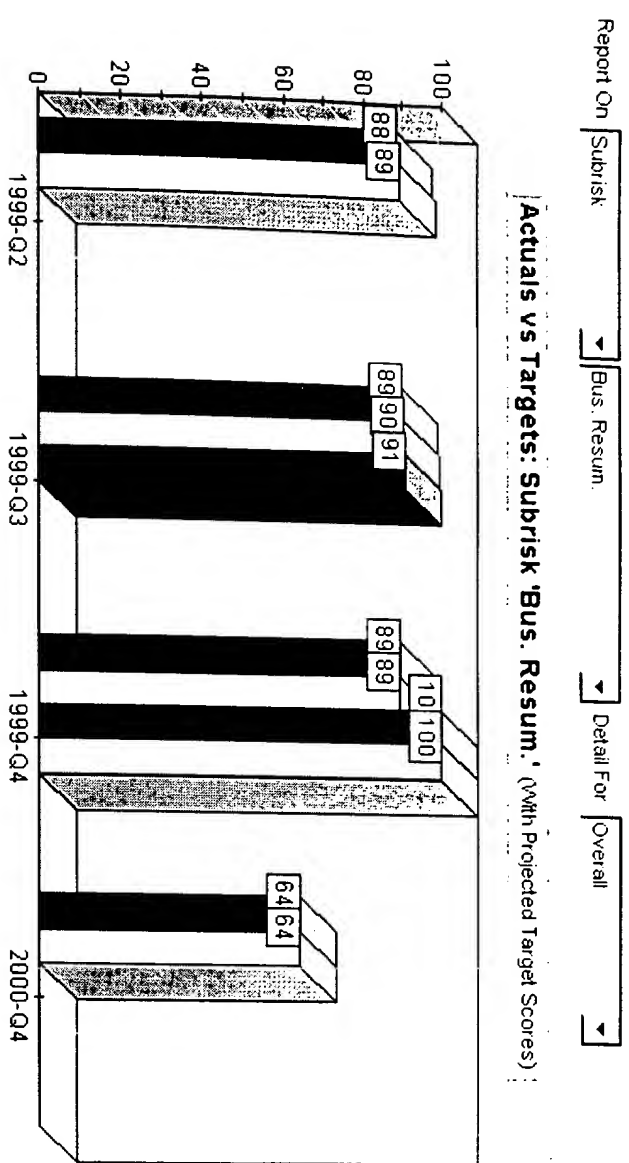
[illegible]

Figure 9



- ☒ Actuals
- ☐ Targets
- ☒ 1 Qtr Projection
- ☐ 2 Qtr Projection
- ☒ 3 Qtr Projection
- ☐ 4 Qtr Projection

09/23/2001 04:07:00

Display Type

- ☒ Action Plan Count

Status

- ☒ Work In Progress
- ☒ Completed
- ☒ Delayed

Chart

BAR

Process

- Applications
- Desktop
- Mainframe

City

- Brussels
- Buenos Aires
- Chicago

